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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	09/980,672	
	Filing Date	October 23, 2001	
	First Named Inventor	Mingdong ZHOU	
	Group Art Unit	To be assigned	
	Examiner Name	To be assigned	
Total Number Of Pages In This Submission	7	Attorney Docket No.	524012000200

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
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SIGNATURE OF APPLICANT, ATTORNEY OR AGENT	
Firm or Individual Name	Peng Chen Registration No. 43,543
Signature	
Date	June 13, 2002

CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"
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PATENT  
Docket No. 524012000200

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Jose Luna

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In the application of:

Mingdong ZHOU

Serial No.: 09/980,672

Filing Date: October 23, 2001

For: CARDIAC MUSCLE FUNCTION AND  
MANIPULATION

Examiner: To be assigned

Group Art Unit: To be assigned

**INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. § 1.97**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record.

The documents listed on the attached Form PTO-1449, numbers 23, 29, 37 and 38 were cited in a Search Report (copy attached) directed to a counterpart international or foreign application.

This Information Disclosure Statement is submitted:

- ☐ With the application; accordingly, no fee or separate requirements are required.
- ☒ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☐ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
  - ☐ A fee is required. A check in the amount of \* is enclosed.
  - ☐ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly, no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a check in the amount of \* is enclosed.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.


The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, applicant petitions for any required relief including extensions of time and authorizes the Assistant Commissioner to

charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing 524012000200. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: June 12, 2002

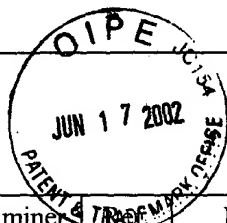
Respectfully submitted,

By: 

Peng Chen  
Registration No. 43,543

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Form PTO-1449 <b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b> <i>(Use several sheets if necessary)</i>	Docket Number 524012006	Application Number 09/980,672
	Applicant Mingdong ZHOU	
	Filing Date October 23, 2001	Group Art Unit To be assigned
	Mailing Date June 13, 2002	



## U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate
	1.	11/1973	3,773,919	Boswell & Scribner	424	19	
	2.	12/1979	4,179,337	Davis et al.	435	181	
	3.	11/1981	4,301,144	Iwashita & Ajisaka	424	78	
	4.	11/1984	4,485,045	Regen	260	403	
	5.	01/1985	4,496,689	Mitra	525	54.1	
	6.	10/1985	4,544,545	Ryan et al.	424	1.1	
	7.	02/1987	4,640,835	Shimizu et al.	424	94	
	8.	06/1987	4,670,417	Iwasaki et al.	514	6	
	9.	12/1988	4,791,192	Nakagawa & Ito	530	399	

## FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO	
	10.	11/1994	AU 68278/94	Australia				
	11.	09/1990	36,676	EP				
	12.	03/1985	52,322	EP				
	13.	10/1986	58,481	EP				
	14.	12/1987	88,046	EP				
	15.	07/1983	102,324	EP				
	16.	08/1984	133,988	EP				
	17.	01/1991	142,641	EP				
	18.	10/1988	143,949	EP				
	19.	06/1994	647,449	EP				
	20.	05/1982	DE 3,218,121	Germany				
	21.	06/1983	83-118008	Japan				
	22.	02/1989	WO 89/01489 A	WIPO				

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DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.

Form PTO-1449		Docket Number 524012006	Application Number 09/980,672
<b>INFORMATION DISCLOSURE CITATION</b> <b>IN AN APPLICATION</b> <i>(Use several sheets if necessary)</i>		Applicant	
		Mingdong ZHOU	
		Filing Date October 23, 2001	Group Art Unit To be assigned
		Mailing Date June 13, 2002	

23.	05/1996	WO 96/15812 A	WIPO				
24.	04/1999	WO 99/18976	WIPO				

## OTHER DOCUMENTS

(including author, title, Date, Pertinent Pages, Etc.)

Examiner Initials	Ref. No.	Title
	25.	Balligand et al. "Cardiac Endothelium and Tissue Growth" Progress in Cardiovascular Diseases (1997) 39(4):351-360
	26.	Chien et al. "Regulation of Cardiac Gene Expression During Myocardial Growth and Hypertrophy: Molecular Studies of an Adaptive Physiologic Response" FASEB Journal (1991) 5:3037-3046
	27.	Colucci et al. "Pathophysiology of Heart Failure" Chapter 13 <i>In Heart Disease: A Textbook of Cardiovascular Medicine</i> Braunwald, ed. Saunders, Philadelphia. (1996) 5:394-420
	28.	Dias et al. "The Molecular Basis of Skeletal Muscle Differentiation" Seminars in Diagnostic Pathology (1994) 11(1):3-14
	29.	Epstein et al "Biological Activity of Liposome-Encapsulated Murine Interferon $\gamma$ is Mediated by a Cell Membrane Receptor" Proc. Natl. Acad. Sci. USA (1985) 82:3688-3692
	30.	Florini-Jr. et al. "Stimulation of Myogenic Differentiation by a Neuregulin, Glial Growth Factor 2" Journal of Biological Chemistry 271(22):12699-12702 (1996)
	31.	Hwang et al. "Hepatic Uptake and Degradation of Unilamellar Sphingomyelin/Cholesterol Liposomes: A Kinetic Study" Proc. Natl. Acad. Sci. USA (1980) 77:4030-4034
	32.	Langer et al. "Biocompatibility of Polymeric Delivery Systems for Macromolecules" Journal of Biomedical Materials Research (1981) 15:267-277
	33.	Parker et al. "p53-Independent Expression of p21 <sup>Cip1</sup> in Muscle and Other Terminally Differentiating Cells" Science (1995) 267:1024-1027
	34.	<u>Physicians Desk Reference</u> . (1994) Medical Economics Data Production Co., Montvale, NJ. Pp. 2314-2320
	35.	Rumyantsev "Interrelations of the Proliferation and Differentiation Processes During Cardiac Myogenesis and Regeneration" International Review Cytology (1977) 51:187-273
	36.	Sidman et al. "Controlled Release of Macromolecules and Pharmaceuticals from Synthetic Polypeptides Based on Glutamic Acid" Biopolymers (1983) 22:547-556
	37.	Simpson et al. "Myocyte Hypertrophy in Neonatal Rat Heart Cultures and Its Regulation by Serum and by Catecholamines" Circulation Research (1982) 51(6):787-801
	38.	Zhao et al. "Neuregulins Promote Survival and Growth of Cardiac Myocytes" The Journal of Biological Chemistry (1998) 273(17):10261-10269
	39.	Zhao et al. "Selective Disruption of Neuregulin-1 Function in Vertebrate Embryos Using Ribozyme-

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<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b> <i>(Use several sheets if necessary)</i>		Applicant Mingdong ZHOU	
		Filing Date October 23, 2001	Group Art Unit To be assigned
		Mailing Date June 12, 2002	
		tRNA Transgenes" Development 125:1899-1907 (1998)	
40.	Zhou et al. "Retinoid-Dependent Pathways Suppress Myocardial Cell Hypertrophy" Proc. Natl. Acad. Sci. USA (1995) 92:7391-7395		
EXAMINER:		DATE CONSIDERED:	
EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.			
PTO/SB/ 08 (2-92)		Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE	